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| APPLICATION NO.  | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO.           | CONFIRMATION NO.       |
|--|-------------|----------------------|-------------------------------|------------------------|
| 09/826,121   | 04/04/2001  | Andy Ming Lee        | 1602034-0002                  | 2317                   |
| 7470   | 7590        | 05/21/2007           |                               |                        |
| WHITE & CASE LLP<br>PATENT DEPARTMENT<br>1155 AVENUE OF THE AMERICAS<br>NEW YORK, NY 10036 |             |                      | EXAMINER<br>CORRIELUS, JEAN M |                        |
|  |             |                      | ART UNIT<br>2162              | PAPER NUMBER           |
|  |             |                      | MAIL DATE<br>05/21/2007       | DELIVERY MODE<br>PAPER |

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

**Application No.**

09/826,121

**Applicant(s)**

LEE ET AL.

**Examiner**

Jean M. Corrielus

**Art Unit**

2162

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 03 March 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                       | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. This office action is in response to the amendment filed on March 3, 2007 in which claims 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 are presented for further examination.

### ***Response to Arguments***

2. Applicant's arguments filed On March 3, 2007 have been fully considered but they are not persuasive. (See Examiner's remark).

### ***Claim Rejections - 35 USC § 112***

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claims 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. The limitations recited in claims 1, 15, and 29 have no relationship between each other. For example, the recited "receiving a random, non-automated contact from a customer through a telephone call or by email" has no connection with the step of generating a customer database, product database and creating a plurality of modules. It is also unclear as to what kind of multi-functional management tool the applicant is referred to. For the purpose of examination, the examiner has considered the multi-functional management tool as software. The applicants fail to show how such multi-functional management tool is used to manage customer and product information.

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

7. Claims 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Henderson et al., (hereinafter "Henderson") US Patent no. 6,327,363 and Mikurak; Michael US Patent no. 6606744 and further in view of Kirkpatrick et al., (hereinafter "Kirkpatrick") US Patent Application Publication no. 2001/0042022.

As to claim 1, Henderson discloses a system for providing customer service using a network-based database and more specifically to an application (multi-functional management tool) that collects and stores customer, vendor, and products information data (col.1, lines 16-19). In particular, Henderson discloses the claimed "generating a customer database including customer records, wherein each customer record tracks a customer" the transaction database 210 includes a customer database that keep track of the customer activity (col.3, lines 13-16, 32-38 and 50-57);

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“generating a product database including product records, wherein each product record tracks a customer” the transaction database 210 includes a product database that keep track product information with respect to customer activity (col.3, lines 13-16, 32-38 and 50-57); “creating a plurality of modules for use in the multi-functional customer relationship management tool, wherein each module allows specific access and manipulation of the customer and product database” by determining appropriate service center based on the customer request (col.3, lines 50-61); “receiving a contact from a customer through a telephone call or by an email” (col.5, lines 42-51; col.6, lines 8-14); and “accessing at least one of the plurality of modules in the multi-functional customer relationship management tool to allow a client representative to review previous customer contact, product information and servicing information associated with the customer”(col.6, lines 28-39). However, Henderson does not explicitly discloses the use of allowing the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new product or warranty purchase information service request, return merchandise request or complaint using one of the plurality of modules.

Mikurak, on the other hand, discloses the claimed “allowing the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new warranty purchase information service request, complaint using one of the plurality of modules” (providing a lists of warranties for view by the a customer when a product that requires service or return under the warranty, which enables the customer to register the product to the service or return is required and valid the request to ensure the claim get routed to the appropriate agent col.162, lines 46-67,

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Applicant should duly note that the act to registered the product inquiry is based on the update information as the customer return a product). It would have been obvious to one having ordinary skill in the art at the invention was made to modify the Henderson' system by incorporating the use of allowing the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new product or warranty purchase information service request, return merchandise request or complaint using one of the plurality of modules as discloses by Mikurak (col.163, lines 32-65; col.162, lines 46-67). One having ordinary skill in the art would have found it motivated to use such a modification for the purpose of allowing customer to customize the received services, thereby improving customer relation and reduces the cost of customer service.

Neither Henderson nor Mikurak discloses the use of allowing a second client representative located at a different site from the first client representative to access the multi-functional customer relationship tool over the internet to further update record using at least one of the plurality of modules to update inventory information of a product at a warehouse location.

Kirkpatrick, however, discloses an analogous system for determining purchasing behavior of customers. In addition, Kirkpatrick discloses the claimed "allowing a second client representative located at a different site from the first client representative to access the multi-functional customer relationship tool over the internet to further update record using at least one of the plurality of modules to update inventory information of a product at a warehouse location" by providing consumers at the third party a management tool access customer product database and allowing them to monitor product database, such management tool allows consumers to

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inventory the database product at the service center {paragraph [0041], [0042], [0043]}. Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Henderson and Mikurak's combined system by incorporating the use of allowing a second client representative located at a different site from the first client representative to access the multi-functional customer relationship tool over the internet to further update record using at least one of the plurality of modules to update inventory information of a product at a warehouse location as disclosed by Kirkpatrick. One having ordinary skill in the art would have found it motivated to use such a system of Kirkpatrick into Henderson and Mikurak's combined system because that would allow customer to participate in a product or warranty registration process in a more efficient and cost effective manner and thereby increases the customer participation within the product registration. Therefore, quickly and easily registers products purchased at on-line site would allows for more facile management of assets.

As to claims 2-4, 7-9 and 11-14, Henderson, Mikurak and Kirkpatrick disclose substantially the invention as claimed. In addition, Mikurak, discloses the claimed "wherein the plurality of modules available to the client representative include at least four of a set of modules comprising a customer interaction module (col.163, lines 33-40), "a warranty administration module" The web customer service component of the present invention lists warranties for view by a user in operation 7404 of FIG. 74. When a user has a product that requires service or return under the warranty, the identity of the user is checked to ensure that the user has registered. The claim made by the user is then checked and compared to the warranty to ensure that the claim meet

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warranty criteria for the requested service or replacement. Once validated, the claim is routed to the appropriate agent. (col.162, lines 47-67), “an inventory management module” The quick-stop mass retail system may also have a system for detecting when inventory is to be restocked including, the system for detecting communicating with the host computer such that the host computer initiates a purchase of additional inventory in response to the low inventory detection, and allows billing for a product or service to be sent to one location, and the actual product to be delivered to another. In some cases, automated Inventory Management and trading partners may set up Automatic Ordering based on usage or schedule so if inventory is used on a regular basis, the re-ordering process may be automated. Order Validation Inventory checks and verification of export restrictions can be done before the order is placed; “a credit card processing module” Current EFT systems, credit cards, or debit cards, which are used in conjunction with an on-line system to transfer money between accounts, such as between the account of a merchant and that of a customer, cannot satisfy the need for an automated transaction system providing an ergonomic interface; and “updating the product database from information received from the third party shipping software to add or modify a specific product indicating shipping information about the product” by displaying the total price of the items that are selected along with shipping information, wherein the user is allowed to modify the predetermined set of items that are selected..

As to claims 15-18, 21-23 and 25-28

Claims 15-18, 21-23 and 25-28 are system for performing the method of claims 2-4, 7-9 and 11-14 above. They are, therefore, rejected under the same rationale.



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As to claims 29-32, 35-37 and 39-42

Claims 29-32, 35-37 and 39-42 are program for managing customer and product information for executing the method of claims 2-4, 7-9 and 11-14 above. They are, therefore, rejected under the same rationale.

***Remark***

8. Applicant asserted (Reply page 18) that Mikurak does not allow the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new product or warranty purchase information service request, return merchandise request or complaint using one of the plurality of modules." The examiner has carefully considered the subject matter on appeal, the rejections advanced by the examiner, and the evidence of obviousness relied upon by examiner as support for the rejections. In rejecting the claims under 35 U.S.C. 103, it is incumbent upon the examiner to establish a factual basis to support the legal conclusion of obviousness and to provide a reason why one having ordinary skill in the pertinent art would have been led to modify the prior art or to combine prior art references to arrive at the claimed invention. Such reason must stem from some teaching, suggestion or implication in the prior art as a whole or knowledge generally available to one having ordinary skill in the art. These showings by the examiner are an essential part of complying with the burden of presenting a prima facie case of obviousness. The examiner's position with respect to the assertion above is that Mikurak discloses a customer-based environment that allows customer to make change to their existing information with respect to warranty or return products. In particular, discloses the

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claimed “ as Mikurak, on the other hand, discloses the claimed “allowing the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new warranty purchase information service request, complaint using one of the plurality of modules” (providing a lists of warranties for view by the a customer when a product that requires service or return under the warranty, which enables the customer to register the product to the service or return is required and valid the request to ensure the claim get routed to the appropriate agent col.162, lines 46-67, Applicant should duly note that the act to registered the product inquiry is based on the update information as the customer return a product.).

9. The examiner has noted in the last office action that Henderson does not explicitly discloses the use of allowing the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new product or warranty purchase information service request, return merchandise request or complaint using one of the plurality of modules.

Mikurak, on the other hand, discloses the claimed “allowing the client representative to update the customer database from information received from the customer to add or modify a specific customer record logging the customer contact and recording any new warranty purchase information service request, complaint using one of the plurality of modules” (providing a lists of warranties for view by the a customer when a product that requires service or return under the warranty, which enables the customer to register the product to the service or return is required and valid the request to ensure the claim get routed to the appropriate agent col.162, lines 46-67,

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10. Applicant asserted that Kirkpatrick does not provide a warranty administration module. The examiner disagrees the precedent assertion. It is important to note that the limitation the Applicant is relied upon is clearly disclosed by Mikurak. Mikurak discloses A WEB CUSTOMER SERVICE COMPONENT that allows request to automatically routed to appropriate agent in order to ensue that claim meet warranty criteria. Such software module provides a method for handling complaints that allows complainants to lodge anonymous complaints against subjects (col.162, lines 46-67).

11. Therefore, claims 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 are rejected under 35 U.S.C. 103(a) as being unpatentable over Henderson et al., (hereinafter "Henderson") US Patent

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no. 6,327,363 and Mikurak; Michael US Patent no. 6606744 and further in view of Kirkpatrick et al., (hereinafter "Kirkpatrick") US Patent Application Publication no. 2001/0042022, which describes all of the elements of the claimed invention so as to have placed a person of ordinary skill in the art in possession thereof. In re Spada, 911 F.2d 705, 708, 15 USPQ 1655, 1658 (Fed. Cir. 1990).

For the above reasons, it is believed that the rejection under 35 USC 103 with respect to claims 1-4, 7-9, 11-18, 21-23, 25-32, 35-37 and 39-42 should be sustained.

Respectfully submitted,

**Conclusion**

12. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

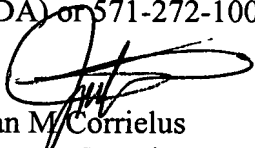
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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jean M. Corrielus whose telephone number is (571) 272-4032.

The examiner can normally be reached on 10 hours shift.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Breene can be reached on (571) 272-4107. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



Jean M. Corrielus  
Primary Examiner  
Art Unit 2162

May 14, 2007